

Finance and Administration Cabinet – STANDARD PROCEDURE	PAGE: 1 OF 5
ISSUED BY: Department of Revenue - Security	
EFFECTIVE DATE:	
PROCEDURE # 6.5.1 (<i>formerly KRC procedure #5.6</i>)	
SUBJECT: Identification and Access Control Badges	
DISTRIBUTION CODE: A, B, C, D	CONTACT: Dept. of Revenue Security Office (502) 564-5200, Station #17

I. INTRODUCTION

The Department of Revenue's building security program consists of the people, equipment, decisions, policies, practices, and systems intended to provide a reasonable and cost-effective level of security to employees, visitors, and data. The Department of Revenue Access Control System is a key component of the building security program. Physical access to buildings and data is controlled through the use of dual-purpose badges. The badges identify the holder as an employee, contractor or visitor. The badges, through system administration, allow access to protected Department of Revenue buildings based on the time of entry and established access groups.

In order to promote the safety of Department of Revenue employees, contractors and guests, and to maintain confidentiality of taxpayer records and other statutorily protected information, Department of Revenue employees and authorized contractors shall use their assigned identification badge in accordance with this standard procedure. Physical access to all Department of Revenue facilities and to certain areas within each facility is restricted. Department of Revenue managers and supervisors shall request physical access privileges for employees and contractors on an "as-needed" basis only. Visitors are required to sign in and out at the receptionist's desk and must be escorted at all times by a Department of Revenue employee or an authorized contractor. Visitors may not enter Department of Revenue buildings other than through main front doors.

II. PROCEDURE

A. System Administration

The Department of Revenue Security Office administers the Access Control System. This office establishes an employee's building access through the use of uniquely keyed identification badges and established access groups. Accesses are granted based upon requests from Department of Revenue managers and supervisors.

The Department of Revenue Security Office obtains employee photos, issues badges to employees, and collects and destroys badges upon separation of employment. The Department of Revenue's **Identification Badges Document (7.Forms-6.5.1/a)** lists the various types of badges and the limitations for each that may be issued to Department of Revenue full-time and interim employees, contractors, visitors, Property Valuation Administrators, employees from other state agencies, and others.

Finance and Administration Cabinet STANDARD PROCEDURE	Page 2 of 5
ISSUED BY: Security	
EFFECTIVE DATE:	
PROCEDURE # 6.5.1 (formerly #5.6)	
SUBJECT: Security and Access Control Badges	

B. Issuance

Managers and supervisors shall use the following procedures to obtain Department of Revenue identification badges for their employees:

1. The employee's manager or supervisor must complete a **Building Access Authorization Form (7.Forms – 6.5.1/b)** and provide the employee's name, agency, social security number, phone number, start date/end date, work location, and the areas within the Department of Revenue for which physical access is being requested. The employee's manager or supervisor must sign the completed form and the manager or supervisor of any restricted areas for which access is being requested must initial the form in the designated area. The employee's manager or supervisor shall inform the employee of the locations, days of the week, and times for which entry to Department of Revenue facilities are authorized. Before an employee transfers within Department of Revenue, it is the manager's responsibility to remove any access previously requested for that employee outside of core hours and areas. The employee's new manager shall submit a new form requesting access to restricted areas that the employee needs.
2. The properly completed and approved form shall be submitted to the Department of Revenue Security Office for processing.
3. Upon receipt of the completed and approved **Building Access Authorization Form**, the Department of Revenue Security Office will enter the access information into the Access Control System. Once processed, the form will be dated and initialed by a security office employee and will be retained by the Department of Revenue Security Office.
4. The Department of Revenue Security Office will then arrange a photo session for the employee and notify the employee's manager or supervisor of the time and location.
5. Each employee shall read, sign, and date a **Department of Revenue ID Badge Transmittal and Use Acknowledgement Form (7.Forms – 6.5.1/c)** to acknowledge receipt of the identification badge and the responsibilities associated with its use. The Department of Revenue Security Office employee shall also sign and date the transmittal, and then be retained in their office.

C. Employees Responsibilities

Department of Revenue employees have certain responsibilities regarding the use of their assigned identification badges, as follows:

Finance and Administration Cabinet STANDARD PROCEDURE	Page 3 of 5
ISSUED BY: Security	
EFFECTIVE DATE:	
PROCEDURE # 6.5.1 (formerly #5.6)	
SUBJECT: Security and Access Control Badges	

1. Employees will wear their identification badges with the front of the badge visible to others at all times while on-site at a Department of Revenue facility.
2. Employees will use their assigned badge to gain entry to the approved work area locations during the hours authorized by the employee's manager or supervisor. If an employee experiences problems with access to areas that they believe they are authorized to enter, they should phone 564-5200 or post a message to the Department of Revenue Facilities Access mailbox for assistance.
3. Employees will use only the main building entrance to gain entry to Department of Revenue facilities during non-business hours, including weekends or holidays. (Visitors must use the main entrance at all times).
4. Employees will obtain a Department of Revenue temporary badge from the receptionist at the front desk if they report to work without their assigned employee badge. They will be required to sign the temporary badge log at the time of issuance. All temporary badges should be returned to the building receptionist at the end of the business day. If the temporary badge has not been returned by 7:30 a.m. the next day, the building receptionist shall contact the employee via telephone or e-mail and instruct him/her to return the badge immediately.
5. Employees will notify the Department of Revenue Security Office immediately by phone at 564-5200, by memo, or by e-mail, if their Department of Revenue identification badge is lost, misplaced, damaged, or stolen. Department of Revenue Security Office staff shall deactivate the lost or stolen badge immediately. The employee's manager or supervisor must submit a completed and approved **Building Access Authorization Form** to the Department of Revenue Security Office requesting issuance of a replacement identification badge to the employee. A Department of Revenue Security Office staff member shall note on the form that the employee's card has been replaced, date it, and initial it. The completed form shall be retained in the Department of Revenue Security Office. Employees who lose their assigned badge more than twice in a calendar year, will be required to reimburse the Department of Revenue for the cost of any replacements.
6. Employees will request his or her manager to authorize additional access when there is a need for the employee to access a Department of Revenue facility during a time which the employee is not normally scheduled to be on the premises. A **Building Access Authorization Form** with a need justification must be completed, signed by the employee's manager before the scheduled time period, and sent to the Department of Revenue Security Office. If this additional access is needed only temporarily, both the START and END date should be provided on the form.

Finance and Administration Cabinet STANDARD PROCEDURE	Page 4 of 5
ISSUED BY: Security	
EFFECTIVE DATE:	
PROCEDURE # 6.5.1 (formerly #5.6)	
SUBJECT: Security and Access Control Badges	

D. Revoking Access to Department of Revenue Facilities

1. As needed, managers and supervisors shall complete in a timely manner and approve a **Building Access Authorization Form** to request that an employee's or contractor's access to Department of Revenue facilities be revoked. The form shall document the reason access revocation. The access control badge shall be turned into the Department of Revenue Security Office by the manager or supervisor.
2. The Department of Revenue Security Office staff will disable the employee's access based on the REVOKE START date, destroy the badge, date the form, initial and retain the form.

E. Visitors Access to Department of Revenue Facilities

The Department of Revenue is required to maintain the confidentiality of state and federal taxpayer information maintained at its facilities. As a result, strict rules shall apply for all visitors accessing Department of Revenue facilities during normal business hours (8:00 a.m. - 4:30 p.m. weekdays).

The following procedures shall be followed by Department of Revenue employees and authorized contractors when an individual comes to visit them at a Department of Revenue facility.

1. Visitors must use the main entrance only.
2. The visitor shall wait at the reception desk while the receptionist telephones the employee, contractor or business area and informs them of the visitor waiting to be escorted.
3. After the escort arrives, the receptionist shall instruct the visitor to sign in on the visitors log and shall then issue a visitor badge.
4. The escort shall initial the visitors log acknowledging escort responsibility before departing the lobby. If the visitor has other business in the building, the escort may request that another employee assume escort responsibility.

Finance and Administration Cabinet STANDARD PROCEDURE	Page 5 of 5
ISSUED BY: Security	
EFFECTIVE DATE:	
PROCEDURE # 6.5.1 (formerly #5.6)	
SUBJECT: Security and Access Control Badges	

5. The designated escort shall take the visitor back to the receptionist's desk and ensure that the visitor badge is returned and the visitor signs out on the visitor's log.
6. Visitors shall be escorted at all times.

F. Emergency Access to Department of Revenue Facilities

Emergency access to the 100 and 200 Fair Oaks buildings and the Perimeter Park West building may be accomplished by contacting Facilities Security at 695-6380. A security officer will escort the individual to the requested area. This process shall be used only in emergency situations. The manager or supervisor of the Department of Revenue facility visited in the emergency situation shall notify the Department of Revenue Deputy Commissioner in writing, within twenty-four hours of the emergency access.

IV. DISCIPLINARY ACTION

Failure to follow the procedures set forth in this policy may result in disciplinary action, including reprimand, suspension or dismissal.

V. FORMS

Identification Badges Document – 7.Forms-6.5.1/a

Department of Revenue ID Badge Transmittal and Use Acknowledgement Form – 7.Forms-6.5.1/b

Building Access Authorization Form – Form 10-A030 (12/13/05) – 7.Forms-6.5.1/c

NO STANDARD PROCEDURE MAY BE REVISED BY ADDENDUM, MEMORANDUM OR ANY OTHER MEANS OTHER THAN THOSE SET OUT IN STANDARD PROCEDURE #1.1 ENTITLED "CREATION, REVISION AND RESCISSION OF FINANCE AND ADMINISTRATION CABINET POLICIES AND PROCEDURES"

DISTRIBUTION CODES:

A. Senior Management	B. Division Directors	C. Branch Managers/Supervisors
D. Department Personnel	E. Division Personnel	F. Branch Personnel
